| Substitute Form PTO-1449  (Modified)  U.S. Department of Commerce Patent and Trademark Office |                     | Attorney's Docket No. Application No. 21753-013003 09/809,885 |                        |  |
|---|---------------------|---|------------------------|--|
| .,  | closure Statement   | Applicant Margrave, et al.                                    |                        |  |
| (Use several s  | heets if necessary) | Filing Date<br>March 16, 2001                                 | Group Art Unit<br>1754 |  |

|                     |              |                    | U.S. Pate           | ent Documents   |       |          |                            |
|---------------------|--------------|--------------------|---------------------|-----------------|-------|----------|----------------------------|
| Examiner<br>Initial | Desig.<br>ID | Document<br>Number | Publication<br>Date | Patentee        | Class | Subclass | Filing Date If Appropriate |
| /SH/                | AA           | 5,300,203          | 04/05/94            | Smalley         |       |          |                            |
|                     | AB           | 5,424,054          | 06/13/95            | Bethune et al.  |       |          |                            |
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|                     | AE           | 6,645,455          | 11/2003             | Margrave et al. |       |          |                            |
| V                   | AF           | 6,331,262          | 12/18/2001          | Haddon et al.   |       |          |                            |

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|----------|---|-------------------|-------------|---------------|-------|----------|-----|----------|
| Examiner | Desig.  | Document          | Publication | Country or    |       |          |     | slation  |
| Initial  | ID d  | Number            | Date        | Patent Office | Class | Subclass | Yes | No       |
| /SH/     | ۸G  | WO 00/73205<br>A1 | 12/07/00    | PCT           |       |          |     |          |
| 1        | АН  | WO 97/32571<br>A1 | 09/12/97    | PCT           |       | ·        |     |          |
|          | Al  | WO 96/18059       | 06/13/96    | РСТ           |       |          |     |          |
| V        | ΑJ  | JP 08/325008      | 12/10/96    | Japan         |       |          |     | <u> </u> |

|                     | Other D      | ocuments (include Author, Title, Date, and Place of Publication)  |
|---------------------|--------------|---|
| Examiner<br>Initial | Desig.<br>ID | Document  |
| /SH/                | AK           | lijima, Sumio and Ichihashi, Toshinari, "Single-shell carbon nanotubes of I-nm diameter," Nature. Vol. 363, pp. 603-605, June 17, 1993.                               |
|                     | AL           | Li, W.Z., et al., "Large-Scale Synthesis of Aligned Carbon Nanotubes," <i>Science</i> , Vol. 274, pp. 1701-1703, December 6, 1996.                                    |
|                     | АМ           | Ugarte, D., et al., "Nanocapillarity and Chemistry in Carbon Nanotubes," <i>Science</i> , Vol. 274, pp. 1897-1899, December 13, 1996.                                 |
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|                     | AO           | Charlier, Jean-Christopher, et al., "Microscopic Growth Mechanisms for Carbon Nanotubes," Science, Vol. 275, pp. 646649, January 31, 1997.                            |
|                     | ΑP           | Hamada, Noriaki, et al., "New One-Dimensional Conductors. Graphic Microtubles," <i>The American Physical Society</i> , Vol. 68, No. 10, pp. 1579-1581, March 9, 1992. |
|                     | AQ           | Guo, Ting, et al., "Self-Assembly of Tubular Fullerenes," J. Phys. Chem. 1995, Vol. 99, No. 27, pp. 10694-10697.  |
|                     | AR           | Guo, T., et al., "Catalytic growth of single-walled nanotubes by laser vaporization," Chemical Physics Letters, Vol. 243, pp. 49-54, 1995.                            |
| V                   | AS           | Rinzler, A.G., "Unraveling Nanotubes: Field Emission from an Atomic Wire," Science, Vol. 269, pp. 1550-1553, September 15, 1995.                                      |

| Examiner Signature                          | /Stuart Hendrickson/ (01/21/2008) | Date Considered   |
|---|-----------------------------------|---|
| EXAMINER: Initials of next communication to |                                   | t in conformance and not considered. Include copy of this form with |
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| Substitute Form PTO-1449 (Modified)                 | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No. Application No. 21753-013003 09/809,885 |                        |  |
|---|--|---|------------------------|--|
|   | closure Statement  | Applicant Margrave, et al.                                    |                        |  |
| (Use several sheets if necessary) (37 CFR §1.98(b)) |  | Filing Date<br>March 16, 2001                                 | Group Art Unit<br>1754 |  |

|          | Other D | ocuments (include Author, Title, Date, and Place of Publication)  |
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| Examiner | Desig.  |   |
| Initial  | ID      | Document Document   |
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|          | АНН.    | Haddon et al, "Solution Properties of Single-Walled Carbon Nanotubes," Science, vol. 282, October 2, 1998, pp. 95-98  |
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|          | AKK     | USSN 60/102,787, Entitled "Solubility Properties of Single-Walled Carbon Nanotubes", Filed October 2, 1998  |
|          | ALL     | Holloway et al., "Fluorination of Buckminsterfullerene" in J. Chem. Soc., Chem. Commun. pgs. 966-969 1991 (NOMONS) 5/22.[9]   |
|          | AMM     | Chen et al., "Chemical Attachment of Organic Functional Groups to Single-Walled Carbon Nanotube Material" in <u>J.Mater.Res.</u> vol. 13 no., 9/1998                          |
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| Examiner Signature  | Date Considered                       |  |  |  |  |  |  |
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| /Stuart Hendrickson/ (01/21/2008)   |                                       |  |  |  |  |  |  |
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PTO/SB/08B (10-01)
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| Complete if Known      |                  |    |  |  |
|------------------------|------------------|----|--|--|
| Application Number     | 09/809,885       |    |  |  |
| Filing Date            | March 16, 2001   |    |  |  |
| First Named Inventor   | Margrave, et al. | 入  |  |  |
| Group Art Unit         | 1754             | ·C |  |  |
| Examiner Name          | S.L. Hendrickson |    |  |  |
| Attorney Docket Number | 11321-P013D2     |    |  |  |
|                        |                  |    |  |  |

| OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS |               |   |    |
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| SUN   |               | USSN 60/102,909, Entitled "Method of Dissolving Single-Walled Carbon Nanotubes in Organic Solutions", Filed October 2, 1998   |    |
| SUO   |               | USSN 60/102,787, Entitled "Solubility Properties of Single-Walled Carbon Nanotubes", Filed October 2, 1998  |    |
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